

**Senate Resolution 2 - Reprinted**

SENATE RESOLUTION NO. 2  
BY COMMITTEE ON ETHICS  
(SUCCESSOR TO SSB 1092)

(As Amended and Passed by the Senate February 13, 2019)

\_\_\_\_\_ and [ = New Language by the Senate

1 A Resolution relating to the Senate Code of Ethics  
2 governing the conduct of members of the Senate in  
3 relation to their senatorial duties during the  
4 Eighty-eighth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code  
6 of Ethics for the ~~Eighty-seventh~~ Eighty-eighth General  
7 Assembly shall be amended to read as follows:

8                   SENATE CODE OF ETHICS  
9                   PREAMBLE. Every legislator owes a duty to uphold  
10 the integrity and honor of the general assembly, to  
11 encourage respect for the law and for the general  
12 assembly and the members thereof, and to observe the  
13 legislative code of ethics.

14       In doing so, members of the senate have a duty to  
15 conduct themselves so as to reflect credit on the  
16 general assembly, and to inspire the confidence,  
17 respect, and trust of the public, and to strive to  
18 avoid both unethical and illegal conduct and the  
19 appearance of unethical and illegal conduct.

20       Recognizing that service in the Iowa general  
21 assembly is a part-time endeavor and that members of  
22 the general assembly are honorable individuals who  
23 are active in the affairs of their localities and  
24 elsewhere and that it is necessary that they maintain  
25 a livelihood and source of income apart from their

SR 2 (2) 88

-1-

jh/tm/mb

1/25

## S.R. 2

1 legislative compensation, the following rules are  
2 adopted pursuant to section 68B.31, to assist the  
3 members in the conduct of their legislative affairs.

4       1. ECONOMIC INTEREST OF SENATOR. Taking into  
5 account that legislative service is part-time, a  
6 senator shall not accept economic or investment  
7 opportunity, under circumstances where the senator  
8 knows, or should know, that there is a reasonable  
9 possibility that the opportunity is being afforded the  
10 senator with intent to influence the senator's conduct  
11 in the performance of official duties.

12      2. DIVESTITURE. Where a senator learns that  
13 an economic or investment opportunity previously  
14 accepted was offered with the intent of influencing  
15 the senator's conduct in the performance of official  
16 duties, the senator shall take steps to divest that  
17 senator of that investment or economic opportunity, and  
18 shall report the facts of the situation to the senate  
19 ethics committee.

20      3. CHARGES FOR SERVICES. A senator shall not  
21 charge to or accept from a person, corporation,  
22 partnership, or association known to have a legislative  
23 interest a price, fee, compensation, or other  
24 consideration for the sale or lease of any property or  
25 the furnishing of services which is in excess of that  
26 which the senator would charge another.

27      4. USE OF CONFIDENTIAL INFORMATION. A senator in  
28 order to further the senator's own economic or other  
29 interests, or those of any other person, shall not  
30 disclose or use confidential information acquired in

SR 2 (2) 88

-2-           jh/tm/mb

2/25

## S.R. 2

1 the course of official duties.

2       5. HONORARIA. A senator shall not accept an  
3 honorarium from a restricted donor for a speech,  
4 writing for publication, or other similar activity,  
5 except as otherwise provided in section 68B.23.

6       6. EMPLOYMENT. A senator shall not accept  
7 employment, either directly or indirectly, from a  
8 political action committee or from an organization  
9 exempt from taxation under section 501(c)(4),  
10 501(c)(6), or 527 of the Internal Revenue Code that  
11 engages in activities related to the nomination,  
12 election, or defeat of a candidate for public office.  
13 A senator may accept employment from a political  
14 party, but shall disclose the employment relationship  
15 in writing to the secretary of the senate within ten  
16 days after the beginning of each legislative session.  
17 If a senator accepts employment from a political  
18 party during a legislative session, the senator shall  
19 disclose the employment relationship within ten days  
20 after acceptance of the employment.

21       For the purpose of this rule, a political action  
22 committee means a committee, but not a candidate's  
23 committee, which accepts contributions, makes  
24 expenditures, or incurs indebtedness in the aggregate  
25 of more than one thousand dollars in any one calendar  
26 year to expressly advocate the nomination, election, or  
27 defeat of a candidate for public office or to expressly  
28 advocate the passage or defeat of a ballot issue or  
29 influencing legislative action, or an association,  
30 lodge, society, cooperative, union, fraternity,

SR 2 (2) 88

-3-       jh/tm/mb

3/25

S.R. 2

1 sorority, educational institution, civic organization,  
2 labor organization, religious organization, or  
3 professional organization which makes contributions in  
4 the aggregate of more than one thousand dollars in any  
5 one calendar year to expressly advocate the nomination,  
6 election, or defeat of a candidate for public office or  
7 ballot issue or influencing legislative action.

8       7. ECONOMIC INTERESTS OF LOBBYIST. With the  
9 exception of exercising unfettered discretion in  
10 supporting or refusing to support proposed legislation,  
11 a senator shall not take action intended to affect the  
12 economic interests of a lobbyist or citizen supporting  
13 or opposing proposed legislation.

14       8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A  
15 senator may appear before a governmental agency or  
16 board in any representation case, except that the  
17 senator shall not act as a lobbyist. Whenever a  
18 senator appears before a governmental agency or board,  
19 the senator shall carefully avoid all conduct which  
20 might in any way lead members of the general public  
21 to conclude that the senator is using the senator's  
22 official position to further the senator's professional  
23 success or personal financial interest.

24       9. CONFLICTS OF INTERESTS. In order to permit the  
25 general assembly to function effectively, a senator  
26 will sometimes be required to vote on bills and  
27 participate in committee work which will affect the  
28 senator's employment and other monetary interests. In  
29 making a decision relative to the senator's activity on  
30 given bills or committee work which are subject to the

SR 2 (2) 88

-4-       jh/tm/mb

4/25

## S.R. 2

1 code, the following factors shall be considered:

2       a. Whether a substantial threat to the senator's  
3 independence of judgment has been created by the  
4 conflict situation.

5       b. The effect of the senator's participation on  
6 public confidence in the integrity of the legislature.

7       c. The need for the senator's particular  
8 contribution, such as special knowledge of the  
9 subject matter, to the effective functioning of the  
10 legislature.

11      A senator with a conflict of interest may  
12 participate in floor debate if prior to debate the  
13 senator indicates the conflict of interest.

14      10. GIFTS. Except as otherwise provided in section  
15 68B.22, a senator, or that person's immediate family  
16 member, shall not, directly or indirectly, accept or  
17 receive any gift or series of gifts from a restricted  
18 donor.

19      11. DISCLOSURE REQUIRED. Each senator shall file  
20 with the secretary of the senate within ten days after  
21 the adoption of the code of ethics by the senate, and  
22 within ten days after the convening of the second  
23 session of the general assembly, a statement under  
24 section 68B.35 on forms provided by the secretary of  
25 the senate setting forth the following information:

26      The nature of each business in which the senator  
27 is engaged and the nature of the business of each  
28 company in which the senator has a financial interest.

29 A senator shall not be required to file a report or  
30 be assumed to have a financial interest if the annual

SR 2 (2) 88

-5-      jh/tm/mb

5/25

## S.R. 2

1 income derived from the investment in stocks, bonds,  
2 bills, notes, mortgages, or other securities offered  
3 for sale through recognized financial brokers is less  
4 than one thousand dollars.

5 Disclosures required under this rule shall be as  
6 of the date filed unless provided to the contrary,  
7 and shall be amended to include interests and changes  
8 encompassed by this rule that occur while the general  
9 assembly is in session. All filings under this rule  
10 shall be open to public inspection in the office of the  
11 secretary of the senate at all reasonable times.

12 The secretary of the senate shall inform the  
13 ethics committee of the statements which are filed  
14 and shall report to the ethics committee the names of  
15 any senators who appear not to have filed complete  
16 statements. The chairperson of the ethics committee  
17 shall request in writing that a senator who has failed  
18 to complete the report or appears to have filed an  
19 incomplete report do so within five days, and, upon  
20 the failure of the senator to comply, the ethics  
21 committee shall require the senator to appear before  
22 the committee.

23 12. STATUTORY VIOLATIONS. Members of the general  
24 assembly are urged to familiarize themselves with  
25 chapters 68B, 721, and 722.

26 12A. HARASSMENT — RETALIATION. Senators,  
27 lobbyists, and clients of lobbyists shall not engage  
28 in conduct that constitutes harassment or retaliation  
29 as provided in the personnel guidelines for the Iowa  
30 Senate.

SR 2 (2) 88

-6- jh/tm/mb

6/25

S.R. 2

1       12B. DISCRIMINATION — HARASSMENT — ABUSE. As  
2       provided and defined in the personnel guidelines of the  
3       Iowa Senate, a senator shall not engage in any act of  
4       discrimination, harassment, or abuse of any person.

5       13. CHARGE ACCOUNTS. Senators shall not charge any  
6       amount or item to any charge account to be paid for by  
7       any lobbyist or any client the lobbyist represents.

8       14. TRAVEL EXPENSES. A senator shall not charge  
9       to the state of Iowa amounts for travel and expenses  
10      unless the senator actually has incurred those mileage  
11      and expense costs. Senators shall not file the  
12      vouchers for weekly mileage reimbursement required  
13      by section 2.10, subsection 1, unless the travel  
14      was actually incurred at commensurate expense to the  
15      senator.

16      15. COMPLAINTS. Complaints or charges against  
17      any senator or any lobbyist shall be in writing, made  
18      under oath penalty of perjury, and filed with the  
19      secretary of the senate ~~or the chairperson of the~~  
20      ~~ethics committee~~. If When filed with the secretary of  
21      the senate, the secretary shall immediately advise the  
22      chairperson of the ethics committee of the receipt of  
23      the complaint.

24      Complaint forms shall be available from the  
25      secretary of the senate, or the chairperson of the  
26      ethics committee, but a complaint shall not be rejected  
27      for failure to use an approved form if the complaint  
28      substantially complies with senate requirements.

29      A complainant may submit exhibits and affidavits  
30      attached to the complaint.

SR 2 (2) 88

-7-       jh/tm/mb

7/25

## S.R. 2

## 1        16. FILING OF COMPLAINTS.

2        a. *Persons entitled.* Complaints may be filed by any  
3 person believing that a senator, lobbyist, or client  
4 of a lobbyist has violated the senate ethics code,  
5 the joint rules governing lobbyists, or chapter 68B.  
6 A violation of the criminal law may be considered to  
7 be a violation of this code of ethics if the violation  
8 constitutes a serious misdemeanor or greater, or a  
9 repetitive and flagrant violation of the law.

10      b. *Committee complaint.* The ethics committee  
11 may, upon its own motion, initiate a complaint,  
12 investigation, or disciplinary action.

13      c. ~~Timeliness of filing. A complaint will be~~  
14 ~~considered to be timely filed if it is filed within~~  
15 ~~three years of the occurrence of the alleged violation~~  
16 ~~of the ethics code.~~

17      17. PERMANENT RECORD. The secretary of the senate  
18 shall maintain a permanent record of all complaints  
19 filed, evidence received by the committee, and any  
20 transcripts or other recordings made of committee  
21 proceedings, including a separate ~~card~~ file containing  
22 the date filed, name and address of the complainant,  
23 name and address of the respondent, a brief statement  
24 of the charges made, and ultimate disposition of  
25 the complaint. The secretary shall keep each such  
26 complaint confidential until public disclosure is made  
27 by the ethics committee.

28      18. PREHEARING PROCEDURE.

29      a. *Defective complaint.* Upon receipt of a  
30 complaint, the chairperson and ranking member of the

SR 2 (2) 88

-8-

jh/tm/mb

8/25

S.R. 2

1 ethics committee shall determine whether the complaint  
2 substantially complies with the requirements of this  
3 code of ethics and section 68B.31, subsection 6. If  
4 the complaint does not substantially comply with  
5 the requirements for formal sufficiency under the  
6 code of ethics, the complaint may be returned to the  
7 complainant with a statement that the complaint is not  
8 in compliance with the code and a copy of the code. If  
9 the complainant fails to amend the complaint to comply  
10 with the code within a reasonable time, the chairperson  
11 and ranking member may dismiss the complaint with  
12 prejudice for failure to prosecute.

13     b. *Service of complaint on respondent.* Upon  
14 receipt of any complaint substantially complying  
15 with the requirements of this code of ethics, the  
16 chairperson of the ethics committee shall cause a copy  
17 of the complaint and any supporting information to be  
18 delivered promptly to the respondent, requesting a  
19 written response to be filed within ten days. At the  
20 time delivery is made to the respondent, delivery of  
21 copies of the complaint and any supporting information  
22 shall be made to legislative staff assigned to the  
23 ethics committee. The response may do any of the  
24 following:

- 25       (1) Admit or deny the allegation or allegations.
- 26       (2) Object that the allegation fails to allege a  
27 violation of chapter 68B, the joint rules governing  
28 lobbyists, or the code of ethics.
- 29       (3) Object to the jurisdiction of the committee.
- 30       (4) Request a more specific statement of the

SR 2 (2) 88

-9-           jh/tm/mb

9/25

## S.R. 2

1 allegation or allegations.

2       c. *Objection to member.* In addition to the  
3 items which may be included in a response pursuant  
4 to paragraph "b", the response may also include an  
5 objection to the participation of any member of the  
6 committee in the consideration of the allegation or  
7 allegations on the grounds that the member cannot  
8 render an impartial and unbiased decision.

9       d. *Extension of time.* At the request of the  
10 respondent and upon a showing of good cause, the  
11 committee, or the chairperson and ranking member,  
12 may extend the time for response, not to exceed ten  
13 additional days.

14     e. *Confidentiality.* If a complaint is not  
15 otherwise made public by the complainant, the members  
16 of the committee and legislative staff assigned to  
17 the ethics committee shall treat the complaint and  
18 all supporting information as confidential until the  
19 written response is received from the respondent.

20     f. *Communications with ethics committee.* After a  
21 complaint has been filed or an investigation has been  
22 initiated, a party to the complaint or investigation  
23 shall not communicate, or cause another to communicate,  
24 as to the merits of the complaint or investigation with  
25 a member of the committee, except under the following  
26 circumstances:

27       (1) During the course of any meetings or other  
28 official proceedings of the committee regarding the  
29 complaint or investigation.

30       (2) In writing, if a copy of the writing is

SR 2 (2) 88

-10-      jh/tm/mb

10/25

S.R. 2

1 delivered to the adverse party or the designated  
2 representative for the adverse party.

3 (3) Orally, if adequate prior notice of the  
4 communication is given to the adverse party or the  
5 designated representative for the adverse party.

6 (4) As otherwise authorized by statute, the senate  
7 code of ethics, the joint rules governing lobbyists, or  
8 vote of the committee.

9 g. *Scheduling hearing.* Upon receipt of the  
10 response, the committee shall schedule a public meeting  
11 to review the complaint and available information, and  
12 shall do one of the following:

13 (1) Notify the complainant that no further  
14 action will be taken, unless further substantiating  
15 information is produced.

16 (2) Dismiss the complaint for failure to meet the  
17 statutory and code of ethics requirements for valid  
18 complaints.

19 (3) Take action on the complaint without requesting  
20 the appointment of an independent special counsel  
21 if the committee determines the complaint is valid  
22 and determines no dispute exists between the parties  
23 regarding the material facts that establish a  
24 violation. The committee may do any of the following:

25 (a) Issue an admonishment to advise against the  
26 conduct that formed the basis for the complaint and to  
27 exercise care in the future.

28 (b) Issue an order to cease and desist the conduct  
29 that formed the basis for the complaint.

30 (c) Make a recommendation to the senate that

SR 2 (2) 88

-11- jh/tm/mb

11/25

S.R. 2

1 the person subject to the complaint be censured or  
2 reprimanded.

3       (4) Request that the chief justice of the supreme  
4 court appoint an independent special counsel to conduct  
5 an investigation of the complaint and supporting  
6 information, to make a determination of probable cause,  
7 and to report the findings to the committee, which  
8 shall be received within a reasonable time.

9       h. *Public hearing.* If independent special counsel  
10 is appointed, upon receipt of the report of independent  
11 special counsel's findings, the committee shall  
12 schedule a public meeting to review the report and  
13 shall do either of the following:

14       (1) Cause the complaint to be scheduled for a  
15 public hearing.

16       (2) Dismiss the complaint based upon a  
17 determination by independent special counsel and the  
18 committee that insufficient evidence exists to support  
19 a finding of probable cause.

20       19. HEARING PROCEDURE.

21       a. *Notice of hearing.* If the committee causes a  
22 complaint to be scheduled for a public hearing, notice  
23 of the hearing date and time shall be given to the  
24 complainant and respondent in writing, and of the  
25 respondent's right to appear in person, be represented  
26 by legal counsel, present statements and evidence, and  
27 examine and cross-examine witnesses. The committee  
28 shall not be bound by formal rules of evidence, but  
29 shall receive relevant evidence, subject to limitations  
30 on repetitiveness. Any evidence taken shall be under

SR 2 (2) 88

-12-      jh/tm/mb

12/25

## S.R. 2

1 oath.

2       b. *Subpoena power.* The committee may require, by  
3 subpoena or otherwise, the attendance and testimony of  
4 witnesses and the production of such books, records,  
5 correspondence, memoranda, papers, documents, and any  
6 other things it deems necessary to the conduct of the  
7 inquiry.

8       c. *Ex post facto.* An investigation shall not be  
9 undertaken by the committee of a violation of a law,  
10 rule, or standard of conduct that is not in effect at  
11 the time of violation.

12     d. *Disqualification of member.* Members of the  
13 committee may disqualify themselves from participating  
14 in any investigation of the conduct of another person  
15 upon submission of a written statement that the member  
16 cannot render an impartial and unbiased decision  
17 in a case. A member may also be disqualified by a  
18 unanimous vote of the remaining eligible members of the  
19 committee.

20     A member of the committee is ineligible to  
21 participate in committee meetings, as a member of the  
22 committee, in any proceeding relating to the member's  
23 own official conduct.

24     If a member of the committee is disqualified or  
25 ineligible to act, the majority or minority leader who  
26 appointed the member shall appoint a replacement member  
27 to serve as a member of the committee during the period  
28 of disqualification or ineligibility.

29     e. *Hearing.* At the hearing, the chairperson shall  
30 open the hearing by stating the charges, the purpose of

SR 2 (2) 88

-13-     jh/tm/mb

13/25

## S.R. 2

1 the hearing, and its scope. The burden of proof rests  
2 upon the complainant to establish the facts as alleged,  
3 by clear and convincing evidence. However, questioning  
4 of witnesses shall be conducted by the members of the  
5 committee, by independent special counsel, or by a  
6 senator. The chairperson shall also permit questioning  
7 by legal counsel representing the complainant or  
8 respondent.

9 The chairperson or other member of the committee  
10 presiding at a hearing shall rule upon procedural  
11 questions or any question of admissibility of evidence  
12 presented to the committee. Rulings may be reversed by  
13 a majority vote of the committee members present.

14 The committee may continue the hearing to a future  
15 date if necessary for appropriate reasons or purposes.

16 f. *Committee action.* Upon receipt of all relevant  
17 evidence and arguments, the committee shall consider  
18 the same and recommend to the senate any of the  
19 following:

20 (1) That the complaint be dismissed.

21 (2) That the senator, lobbyist, or client of a  
22 lobbyist be censured or reprimanded, and recommend the  
23 appropriate form of censure or reprimand.

24 (3) Any other appropriate sanction, including  
25 suspension or expulsion from membership in the senate,  
26 or suspension of lobbying privileges.

27 g. *Disposition resolution.* By appropriate  
28 resolution, the senate may amend, adopt, or reject  
29 the report of the ethics committee, including the  
30 committee's recommendations regarding disciplinary

SR 2 (2) 88

-14- jh/tm/mb

14/25

## S.R. 2

1 action.

2       20. COMMITTEE AUTHORIZED TO MEET. The senate  
3 ethics committee is authorized to meet at the  
4 discretion of the chairperson to conduct hearings and  
5 other business that properly may come before it. If  
6 the committee submits a report seeking senate action  
7 against a senator, lobbyist, or client of a lobbyist  
8 after the second regular session of a general assembly  
9 has adjourned sine die, the report shall be submitted  
10 to and considered by the subsequent general assembly.  
11 However, the report may be submitted to and considered  
12 during any special session which may take place after  
13 the second regular session of a general assembly has  
14 adjourned sine die, but before the convening of the  
15 next general assembly.

16       21. ADVISORY OPINIONS.

17       a. *Requests for formal opinions.* A request for a  
18 formal advisory opinion may be filed by any person who  
19 is subject to the authority of the ethics committee.  
20 The ethics committee may also issue a formal advisory  
21 opinion on its own motion, without having previously  
22 received a formal request for an opinion, on any issue  
23 that is within the jurisdiction of the committee.

24 Requests shall be filed with either the secretary of  
25 the senate or the chairperson of the ethics committee.

26       b. *Form and contents of requests.* A request for  
27 a formal advisory opinion shall be in writing and  
28 may pertain to any subject matter that is related  
29 to the application of the senate code of ethics, the  
30 joint rules governing lobbyists, or chapter 68B ~~of the~~

SR 2 (2) 88

-15-     jh/tm/mb

15/25

S.R. 2

1 ~~Code~~ to any person who is subject to the authority of  
2 the ethics committee. Requests shall contain one or  
3 more specific questions and shall relate either to  
4 future conduct or be stated in the hypothetical. A  
5 request for an advisory opinion shall not specifically  
6 name any individual or contain any other specific  
7 identifying information, unless the request relates  
8 to the requester's own conduct. However, any request  
9 may contain information which identifies the kind  
10 of individual who may be affected by the subject  
11 matter of the request. Examples of this latter kind  
12 of identifying information may include references to  
13 conduct of a category of individuals, such as but not  
14 limited to conduct of legislators, legislative staff,  
15 lobbyists, or clients of lobbyists.

16       c. *Confidentiality of formal requests and opinions.*  
17 Requests for formal opinions are not confidential and  
18 any deliberations of the committee regarding a request  
19 for a formal opinion shall be public. Opinions issued  
20 in response to requests for formal opinions are not  
21 confidential, shall be in writing, and shall be placed  
22 on file in the office of the secretary of the senate.  
23 Persons requesting formal opinions shall personally  
24 receive a copy of the written formal opinion that is  
25 issued in response to the request.

26       22. CALCULATION OF TIME — DAYS. For purposes of  
27 these rules, unless the context otherwise requires,  
28 the word "day" or "days" shall mean a calendar day  
29 except that if the day is the last day of a specific  
30 time period and falls upon a Saturday, Sunday, or legal

SR 2 (2) 88

-16-      jh/tm/mb

16/25

S.R. 2

1 holiday, the time prescribed shall be extended so as to  
2 include the whole of the next day in which the offices  
3 of the senate and the general assembly are open for  
4 official business.

5        23. COMPLAINT FILING FORM. The following form  
6 shall be used to file a complaint under these rules:

## THE SENATE

## Ethics Complaint Form

9 Re: \_\_\_\_\_  
10 (Senator/Lobbyist/Client of Lobbyist), of

11 \_\_\_\_\_, Iowa.  
12 I, \_\_\_\_\_ (Complainant),  
13 residing at \_\_\_\_\_, in the City of  
14 \_\_\_\_\_, State of \_\_\_\_\_,  
15 hereby complain that \_\_\_\_\_  
16 (Senator/Lobbyist/Client of Lobbyist), whose address  
17 is \_\_\_\_\_, has  
18 violated the Senate Code of Ethics, chapter 68B, or  
19 Joint Rules Governing Lobbyists in that:

20 (Explain the basis for the complaint here. Use  
21 additional pages, if necessary.)

22 Under penalty of perjury, I certify that the above  
23 complaint is true and correct as I verily believe.

24 \_\_\_\_\_  
25 Signature of Complainant

26 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_  
27 day of \_\_\_\_\_, \_\_\_\_\_.  
28

29 Notary Public in and for the  
30 State of \_\_\_\_\_

Notary Public is in and for the

Finally, Table 6 and

State 01 \_\_\_\_\_

SR 2 (2) 88

-17- jh/tm/mb

17/25

S.R. 2

1       24. COMPLAINT NOTICE FORM. The following form  
2 shall be used for notice of a complaint under these  
3 rules:

4 STATE OF IOWA  
5 THE SENATE  
6 COMMITTEE ON ETHICS )  
7 IOWA STATE SENATE )  
8 )  
9 On The Complaint Of ) NOTICE OF COMPLAINT

10 )  
11 \_\_\_\_\_ )  
12 )  
13 And Involving )  
14 )  
15 \_\_\_\_\_ )  
16 )

17 TO \_\_\_\_\_,  
18 Senator or Lobbyist or Client of Lobbyist named  
19 above:

20 You are hereby notified that there is now on file  
21 with the Secretary of the Senate, State Capitol, Des  
22 Moines, Iowa, a complaint which alleges that you have  
23 committed a violation of the Senate's Code of Ethics,  
24 chapter 68B, or Joint Rules Governing Lobbyists.

25 A copy of the complaint and the Senate rules for  
26 processing the same are attached hereto and made a part  
27 of this notice.

28 You are further notified and requested to file your  
29 written answer to the complaint within ten days of the  
30 date upon which the notice was caused to be delivered

SR 2 (2) 88  
-18- jh/tm/mb 18/25

S.R. 2

1 to you, (date) \_\_\_\_\_, \_\_\_\_\_.  
2 Your answer is to be filed with the Secretary of the  
3 Senate, State Capitol, Des Moines, Iowa.

4 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
5

6 \_\_\_\_\_ Chairperson, Senate Ethics

7 Committee,

8 or Secretary of the Senate

9 25. HEARING NOTICE FORM. The following form shall  
10 be used for notice of a hearing under these rules:

11 STATE OF IOWA

12 THE SENATE

13 COMMITTEE ON ETHICS )

14 IOWA STATE SENATE )

15 )

16 On The Complaint Of ) NOTICE OF HEARING

17 )

18 \_\_\_\_\_ )

19 )

20 And Involving )

21 )

22 \_\_\_\_\_ )

23 )

24 TO \_\_\_\_\_,

25 Senator or Lobbyist or Client of Lobbyist named

26 above:

27 You are hereby notified that there is now on file  
28 with the Secretary of the Senate, State Capitol, Des  
29 Moines, Iowa, a complaint which alleges that you have  
30 committed a violation of the Senate's Code of Ethics,      

SR 2 (2) 88

-19- jh/tm/mb

19/25

S.R. 2

1 chapter 68B, or Joint Rules Governing Lobbyists.

2 A copy of the complaint and the Senate rules for  
3 processing the same are attached hereto and made a part  
4 of this notice.

5 You are further notified that, after preliminary  
6 review, the committee has caused a public hearing to be  
7 scheduled on (date) \_\_\_\_\_, \_\_\_\_\_, at  
8 (hour) \_\_\_\_\_ (a.m.) (p.m.), in Room \_\_\_, State  
9 Capitol, Des Moines, Iowa.

10 At the hearing, you will have the right to appear  
11 in person, be represented by legal counsel at your own  
12 expense, present statements and evidence, and examine  
13 and cross-examine witnesses. The committee shall  
14 not be bound by formal rules of evidence, but shall  
15 receive relevant evidence, subject to limitations on  
16 repetitiveness. Any evidence taken shall be under  
17 oath.

18 The committee may continue the hearing to a future  
19 date if necessary for appropriate reasons or purposes.

20 You are further notified that the committee will  
21 receive such evidence and take such action as warranted  
22 by the evidence.

23 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
24

25 \_\_\_\_\_  
26 Chairperson, Senate Ethics  
Committee,  
27 or Secretary of the Senate

28 26. PERSONAL FINANCIAL DISCLOSURE FORM. The  
29 following form shall be used for disclosure of economic  
30 interests under these rules and section 68B.35:

SR 2 (2) 88

-20- jh/tm/mb

20/25

S.R. 2

## 1 STATEMENT OF ECONOMIC INTERESTS

2 Name: \_\_\_\_\_

3 (Last) (First) (Middle Initial)

4 Address: \_\_\_\_\_

5 (Street Address, Apt.#/P.O. Box)

6 \_\_\_\_\_

7 (City) (State) (Zip)

8 Phone: (Home) \_\_\_\_ / \_\_\_\_ - \_\_\_\_ (Business) \_\_\_\_ / \_\_\_\_ - \_\_\_\_

9 \*\*\*\*\*

10 a. Please list each business, occupation, or  
11 profession in which you are engaged. In listing  
12 the business, occupation, or profession, it is  
13 not necessary that your employer or the name of  
14 the business be listed, although all businesses,  
15 occupations, or professions must be listed, regardless  
16 of the amount of income derived or time spent  
17 participating in the activity. (Examples of types  
18 of businesses, occupations, or professions that may  
19 be listed: teacher, lawyer, legislator, real estate  
20 agent, insurance adjuster, salesperson....)

21 (1) \_\_\_\_\_

22 (2) \_\_\_\_\_

23 (3) \_\_\_\_\_

24 (4) \_\_\_\_\_

25 (5) \_\_\_\_\_

26 b. Please list the nature of each of the  
27 businesses, occupations, or professions which you  
28 listed in paragraph "a", above, unless the nature of  
29 the business, occupation, or profession is already  
30 apparent from the information indicated above. The

SR 2 (2) 88

-21- jh/tm/mb

21/25

## S.R. 2

1 descriptions in this paragraph should correspond by  
2 number to the numbers for each of the businesses,  
3 occupations, or professions listed in paragraph "a".  
4 (Examples: If you indicated, for example, that you  
5 were a salesperson in subparagraph (1) of paragraph  
6 "a", you should list in subparagraph (1) of this  
7 paragraph the types of goods or services sold in this  
8 item. If you indicated that you were a teacher in  
9 subparagraph (2) of paragraph "a", you should indicate  
10 in subparagraph (2) of this paragraph the type of  
11 school or institution in which you provide instruction  
12 or whether the instruction is provided on a private  
13 basis. If you indicated that you were a lawyer in  
14 subparagraph (3) of paragraph "a", you should indicate  
15 your areas of practice and whether you are in private,  
16 corporate, or government practice in subparagraph (3)  
17 of this paragraph. If you indicated in subparagraph  
18 (4) of paragraph "a" that you were a consultant, in  
19 subparagraph (4) of this paragraph you should indicate  
20 the kind of services provided and types of clients  
21 served.)

22 (1) \_\_\_\_\_  
23 (2) \_\_\_\_\_  
24 (3) \_\_\_\_\_  
25 (4) \_\_\_\_\_  
26 (5) \_\_\_\_\_

27 c. Please list each source, by general description,  
28 from which you receive, or which generates, more than  
29 one thousand dollars in gross annual income in the  
30 categories listed below. For purposes of this item,

SR 2 (2) 88

-22- jh/tm/mb

22/25

## S.R. 2

1 a source produces gross annual income if the revenue  
2 produced by the source is subject to federal or state  
3 income taxes. In completing this item, it is not  
4 necessary to list the name of the company, business,  
5 financial institution, corporation, partnership, or  
6 other entity which constitutes the source of the income  
7 and the amount or value of the holding should not be  
8 listed.

9 (1) Securities (Here for example, you need not  
10 state that you own X number of shares of any specific  
11 company by brand or corporate name, or that the stock  
12 is of a certain value, but may instead state that you  
13 possess stock in a company and indicate the nature of  
14 the company's business.):

15 \_\_\_\_\_  
16 \_\_\_\_\_  
17 \_\_\_\_\_  
18 \_\_\_\_\_  
19 \_\_\_\_\_

20 (2) Instruments of Financial Institutions (You  
21 need not indicate, for example, in which institutions  
22 you hold certificates of deposit that produce annual  
23 income over the one thousand dollar threshold, but  
24 simply listing the nature of the institution will  
25 suffice, e.g., bank, credit union, or savings and loan  
26 association.):

27 \_\_\_\_\_  
28 \_\_\_\_\_  
29 \_\_\_\_\_  
30 \_\_\_\_\_

SR 2 (2) 88

-23- jh/tm/mb

23/25

## S.R. 2

1 \_\_\_\_\_  
2 (3) Trusts (The name of the particular trust need  
3 not be listed. However, if the income is received  
4 from a charitable trust/foundation, such as the Pugh  
5 Charitable Trust, in the form of a grant, the fact that  
6 the trust is a charitable trust should be noted here.):  
7 \_\_\_\_\_  
8 \_\_\_\_\_  
9 \_\_\_\_\_  
10 \_\_\_\_\_  
11 \_\_\_\_\_

12 (4) Real Estate (When listing real estate, it is  
13 not necessary to list the location of the property, but  
14 the general nature of the real estate interest should  
15 be indicated, e.g., residential leasehold interest or  
16 farm leasehold interest.):  
17 \_\_\_\_\_  
18 \_\_\_\_\_  
19 \_\_\_\_\_  
20 \_\_\_\_\_  
21 \_\_\_\_\_

22 (5) Retirement Systems (When listing retirement  
23 benefits, it is not necessary to list the name of  
24 the particular pension system or company, but rather  
25 the type of benefit should be listed, e.g., health  
26 benefits, life insurance benefits, private pension, or  
27 government pension.):  
28 \_\_\_\_\_  
29 \_\_\_\_\_  
30 \_\_\_\_\_

SR 2 (2) 88

-24- jh/tm/mb

24/25

S.R. 2

1 \_\_\_\_\_  
2 \_\_\_\_\_  
3 ~~(6) Other Income Categories Specified in State or~~  
4 ~~Federal Income Tax Regulations (List description of~~  
5 ~~other sources of income producing over one thousand~~  
6 ~~dollars in annual income not previously reported above,~~  
7 ~~but which must be reported for income tax purposes.)•~~  
8 \_\_\_\_\_  
9 \_\_\_\_\_  
10 \_\_\_\_\_  
11 \_\_\_\_\_  
12 \_\_\_\_\_  
13 \_\_\_\_\_  
14 \_\_\_\_\_  
15 (Signature of filer) (Date)

SR 2 (2) 88

-25- jh/tm/mb

25/25